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Patent Docket P2630P1C1

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of: Group Art Unit: 1647

Ashkenazi et al. Examiner: Not yet assigned

Serial No.: 09/918,585

Filed: July 30, 2001

For: Secreted and Transmembrane

Polypeptides and Nucleic Acids

Encoding the Same

TRANSMITTAL OF PROPERTY RIGHTS STATEMENT TO DOE AND/OR NASA UNDER 42 U.S.C. §§ 2182 and 2457

Assistant Commissioner of Patents ATTN: Licensing and Review Washington, D.C. 20231

Sir:

Applicants submit herewith an executed property rights statement to the DOE and/or NASA under 42 U.S.C. §§ 2182 and 2457 for the above captioned patent application. This property rights statement is submitted in anticipation of the Patent Office issuing a requirement for such a statement in the above captioned patent application as such a requirement was issued by the Patent Office in other related patent applications. Applicants note that this property rights statement is effective not only for the above captioned patent application, but also for all currently pending continuations of the above captioned patent application as shown in Appendix A which is appended to the fully executed property rights statement submitted herewith.

Also submitted herewith is a declaration by the undersigned patent attorney which serves to set forth the reasons why one of the joint inventors of the above captioned application (and all continuation,

divisional and continuation-in-part applications), Nicholas F. Paoni, has refused to sign the herewith enclosed property rights statement to the DOE and/or NASA under 42 U.S.C. §§ 2182 and 2457.

The Commissioner is authorized to charge any fees which may be required, including extension fees, or credit any overpayment to Deposit Account No. 07-0630.

Respectfully submitted,

GENENTECH, INC.

Bv:

Mark T. Kresnak, Ph.D.

Reg. No. 42,767

Telephone: (650) 225-4461

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PATENT TRADEMARK OFFICE

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of: Group Art Unit: 1647

Ashkenazi et al. Examiner: Not yet assigned

Serial No.: 09/918,585

Filed: July 30, 2001

For: Secreted and Transmembrane

Polypeptides and Nucleic Acids

Encoding the Same

<u>DECLARATION OF MARK T. KRESNAK REGARDING THE REFUSAL OF INVENTOR NICHOLAS F. PAONI TO SIGN DOCUMENTS UNDER MPEP §§ 151 AND 409.03(d)</u>

Assistant Commissioner of Patents ATTN: Licensing and Review Washington, D.C. 20231

Sir:



I, MARK T. KRESNAK, hereby declare as follows:

- 1. I am a patent attorney employed by the assignee of the above captioned patent application (and all continuations, divisionals and continuation-in-part applications thereof), Genentech, Inc., 1 DNA Way, South San Francisco, California 94080.
- 2. I have a power of attorney in the above captioned patent application (and all continuations, divisionals and continuation-in-part applications thereof) and am authorized to sign documents related to the prosecution of these patent applications on behalf of the assignee, Genentech, Inc.
- 3. In response to U.S. Patent Office notices requiring the submission by Applicants of a Property Rights Statement to the DOE and/or NASA under 42 U.S.C. §§ 2182 and 2457 in the above captioned patent application and/or certain other related patent applications, I prepared such a Property Rights Statement and forwarded copies thereof to each of the inventors of the above captioned patent application (and all continuations, divisionals and continuation-in-part application thereof) for execution.

4. One of the inventors to whom this statement was forwarded is Nicholas F. Paoni. The statement

was sent to Mr. Paoni at his current address which is 51365 Amesburry Way, Granger, Indiana 46530.

5. Nicholas F. Paoni was named as an inventor in the above captioned patent application (and all

continuations, divisionals and continuation-in-part application thereof) based upon work he performed while

employed by the current assignee, Genentech, Inc. Mr. Paoni's employment with Genentech, Inc. was terminated

on September 19, 2001 and he is no longer employed by Genentech, Inc.

6. Since Mr. Paoni's employment with Genentech, Inc. was terminated, Mr. Paoni has expressed

to me an unwillingness to sign any documents related to the prosecution of Genentech, Inc. patent application on

which he is a named inventor.

7. Based upon this unwillingness to sign documents related to Genentech, Inc. patent applications

on which he is a named inventor, Mr. Paoni has refused to execute the Property Rights Statement to the DOE

and/or NASA under 42 U.S.C. §§ 2182 and 2457 referenced above. As such, the Property Rights Statement

to the DOE and/or NASA under 42 U.S.C. §§ 2182 and 2457 submitted herewith is executed by all of the

named joint inventors except for Nicholas F. Paoni.

8. I declare further that all statements made herein of my own knowledge are true and that all

statements made on information and belief are believed to be true and further that these statements are made with

the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both,

under Section 1001 of Title 18 of the United States Code and that all such willful false statements may jeopardize

the validity of the application or any patent issuing thereon.

Date: 10-9-02

Signed:

Mark T. Kresnak, Ph.D.

Section Patent Counsel

Genentech, Inc.

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of:

Group Art Unit: 1647

Ashkenazi et al.

Examiner: Not yet assigned

Serial No.: 09/918,585

Filed: July 30, 2001

For: Secreted and Transmembrane

Polypeptides and Nucleic Acids

Encoding the Same

PROPERTY RIGHTS STATEMENT TO DOE AND/OR NASA (42 U.S.C. §§ 2182 and 2457) - INVENTORS EMPLOYED BY AN ORGANIZATION

Assistant Commissioner of Patents ATTN: Licensing and Review Washington, D.C. 20231

Sir:



We, as joint inventors named in the above captioned patent application and the continuation applications of the above captioned patent application as listed on the herewith attached Appendix A, hereby declare with respect to the invention(s) described and claimed in the above captioned patent application and in the continuation applications of the above captioned patent application as listed on the herewith attached Appendix A that:

- 1. We made and conceived (a) the invention described and claimed in the above captioned U.S. patent application Serial No. 09/918,585 filed in the United States of America on July 30, 2001 and entitled "Secreted and Transmembrane Polypeptides and Nucleic Acids Encoding the Same" and (b) the invention(s) described and claimed in the continuation applications of the above captioned patent application as listed on the herewith attached Appendix A (henceforth the "Inventions");
- 2. We made and conceived these Inventions while employed by Genentech, Inc., 1 DNA Way, South San Francisco, California, 94080;

Serial No.: 09/918,585

Filed: July 30, 2001

3. These invention(s) are related to the work we are employed to perform (or were employed

to perform, if no longer employed by Genentech, Inc.) and were made within the scope of our employment

duties; that these inventions were made during working hours and with the use of facilities, equipment,

materials, funds, information and services of Genentech, Inc.;

4. To the best of our knowledge and belief, these Inventions were not made or conceived in

the course of, or in connection with, or under the terms of any contract, subcontract or arrangement entered

into with or for the benefit of the United States Atomic Energy Commission or its successors: Energy

Research and Development Administration or the Department of Energy;

5. To the best of our knowledge and belief, these Inventions were not made (conceived or first

actually reduced to practice) under, nor is there any relationship of these Inventions to the performance of

any work under any contract of the National Aeronautics and Space Administration;

6. We declare further that all statements made herein of our own knowledge are true and that

all statements made on information and belief are believed to be true and further that these statements are

made with the knowledge that willful false statements and the like so made are punishable by fine or

imprisonment, or both, under Section 1001 of Title 18 of the United States Code and that all such willful

false statements may jeopardize the validity of the application or any patent issuing thereon.

Full name of first inventor

Avi Ashkenazi		
1456 Tarrytown Street, San Mateo, CA 94402		
Citizenship: US		-1-1-
Citizenship: US Inventor's signature: AV Ashkenam	Date:	9/5/02
		, .
Full name of second joint inventor		
Kevin P. Baker		
14006 Indian Run Drive, Darnestown, MD 20878		
Citizenship: GB		
Inventor's signature:	Date:	

3. These invention(s) are related to the work we are employed to perform (or were employed

to perform, if no longer employed by Genentech, Inc.) and were made within the scope of our employment

duties; that these inventions were made during working hours and with the use of facilities, equipment,

materials, funds, information and services of Genentech, Inc.;

4. To the best of our knowledge and belief, these Inventions were not made or conceived in

the course of, or in connection with, or under the terms of any contract, subcontract or arrangement entered

into with or for the benefit of the United States Atomic Energy Commission or its successors: Energy

Research and Development Administration or the Department of Energy;

5. To the best of our knowledge and belief, these Inventions were not made (conceived or first

actually reduced to practice) under, nor is there any relationship of these Inventions to the performance of

any work under any contract of the National Aeronautics and Space Administration;

6. We declare further that all statements made herein of our own knowledge are true and that

all statements made on information and belief are believed to be true and further that these statements are

made with the knowledge that willful false statements and the like so made are punishable by fine or

imprisonment, or both, under Section 1001 of Title 18 of the United States Code and that all such willful

false statements may jeopardize the validity of the application or any patent issuing thereon.

Full name of first inventor

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Inventor's signature:	Date: 9-19-2007
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Full name of fifteenth joint inventor

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Full name of nineteenth joint inventor	
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Full name of fifteenth	joint	inventor
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Full name	of fifteenth	oint i	inventor
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Full name of fifteenth joint inventor

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Full name of twent	y-first joint	inventor
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Inventor's signature:	Date: 7.0 \$1955 600
Full name of twenty-third joint inventor	
David L. Shelton	
5845 Clover Drive, Oakland, CA 94618	
Citizenship: US	
Inventor's signature:	Date:
Full name of twenty-forth joint inventor	
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465 Douglass Street, San Francisco, CA 94114	
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Inventor's signature:	Date:
Full name of twenty-fifth joint inventor	
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3 Rae Avenue, Orinda, CA 94563	
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Full name of twenty-sixth joint inventor	
P. Mickey Williams	
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Full name of twenty-first joint inventor

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Citizenship: US Inventor's signature:	Date: _ / / / C
Full name of twenty-forth joint inventor	
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Full name of twenty-fifth joint inventor	
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to a shade at makeuma	Date:

Full name of twenty-first joint inventor	
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Margaret Ann Roy	•
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Full name of twenty-seventh joint inventor

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Citizenship: US

Inventor's signature:

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APPENDIX A

Application No.	Application Date	File No		
09/978194	15Oct2001	P2630P1C10		
09/978295	15Oct2001	P2630P1C11		
09/981915	16Oct2001	P2630P1C12		
09/978544	16Oct2001	P2630P1C13		
09/978824	16Oct2001	P2630P1C14		
09/978585	16Oct2001	P2630P1C15		
09/978643	16Oct2001	P2630P1C16		
09/978403	16Oct2001	P2630P1C17		
09/978681	16Oct2001	P2630P1C18		
09/978665	16Oct2001	P2630P1C19		
09/978298	15Oct2001	P2630P1C2		
09/978802	16Oct2001	P2630P1C20		
09/978423	16Oct2001	P2630P1C21		
09/978608	16Oct2001	P2630P1C22		
09/978912	16Oct2001	P2630P1C23		
09/978375	16Oct2001	P2630P1C24		
09/978564	16Oct2001	P2630P1C25		
09/978757	16Oct2001	P2630P1C26		
09/978697	16Oct2001	P2630P1C27		
10/164829	19Oct2001	P2630P1C28		
10/165038	19Oct2001	P2630P1C29		
09/978299	15Oct2001	P2630P1C3		
10/172039	19Oct2001	P2630P1C30		
10/1/2039	19Oct2001	P2630P1C31		
10/145017	19Oct2001	P2630P1C32		
10/143017	19Oct2001	P2630P1C33		
10/143030	19Oct2001	P2630P1C34		
10/167600	19Oct2001	P2630P1C35		
10/164929	19Oct2001	P2630P1C36		
10/143028	19Oct2001	P2630P1C37		
10/165036	19Oct2001	P2630P1C38		
10/143031	19Oct2001	P2630P1C39		
09/978191	15Oct2001	P2630P1C4		
10/165353	19Oct2001	P2630P1C40		
10/165247	19Oct2001	P2630P1C41		
	19Oct2001	P2630P1C42		
10/165067	19Oct2001	P2630P1C43		
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10/145124	18Oct2001	P2630P1C45		
10/145092	19Oct2001	P2630P1C46		
10/145128		P2630P1C47		
10/145087	18Oct2001 18Oct2001	P2630P1C47		
10/145093		P2630P1C46		
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09/978187	15Oct2001			
10/152388	18Oct2001	P2630P1C50		
10/145129	18Oct2001	P2630P1C51		
10/145016	18Oct2001	P2630P1C52		
10/170481	19Oct2001	P2630P1C53		
10/143029	19Oct2001	P2630P1C54		
10/162521	19Oct2001	P2630P1C55		

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10/162522	19Oct2001	P2630P1C56		
10/160502	19Oct2001	P2630P1C57		
10/143026	19Oct2001	P2630P1C58		
10/166709	19Oct2001	P2630P1C59		
09/978193	15Oct2001	P2630P1C6		
10/164749	19Oct2001	P2630P1C60		
09/999829	24Oct2001	P2630P1C61		
10/017191	24Oct2001	P2630P1C62		
09/999832	24Oct2001	P2630P1C63		
10/017086	24Oct2001	P2630P1C64		
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10/017083	24Oct2001	P2630P1C67		
09/999831	24Oct2001	P2630P1C68		
10/017081	24Oct2001	P2630P1C69		
09/978189	15Oct2001	P2630P1C7		
09/999830	24Oct2001	P2630P1C70		
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10/017085	24Oct2001	P2630P1C73		
10/020445	24Oct2001	P2630P1C74		
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10/013924	25Oct2001	P2630P1C76		
10/013918	25Oct2001	P2630P1C77		
10/013920	25Oct2001	P2630P1C78		
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09/978188	15Oct2001	P2630P1C8		
10/013926	25Oct2001	P2630P1C80		
10/013922	21Oct2001	P2630P1C81		
10/013917	25Oct2001	P2630P1C82		
10/013925	25Oct2001	P2630P1C83		
10/013921	25Oct2001	P2630P1C84		
10/013919	25Oct2001	P2630P1C85		
10/013928	25Oct2001	P2630P1C86		
10/013923	25Oct2001	P2630P1C87		
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10/013929	25Oct2001	P2630P1C89		
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10/016177	25Oct2001	P2630P1C90		





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